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Express Mail Label No. EL565148242US  
Date of Deposit: August 30, 2002  
DOCKET NO: C01039/70057/MAT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis, et al.  
Serial No: 09/965,101  
Confirmation No: 3959  
Filed: September 26, 2001  
For: VECTORS AND METHODS FOR IMMUNIZATION OR  
THERAPEUTIC PROTOCOLS

Examiner: Not yet assigned  
Art Unit: 1632

**BOX DUPLICATE OIPE**  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

Sir:

Transmitted herewith for filing are the following documents:

- [X] Copy of Request for Substitute Papers
- [X] Response to Request for Substitute Papers
- [X] Copy of Postcard Date-Stamped June 28, 2002 from the USPTO
- [X] Copy of Post Office Express Mail Delivery Label
- [X] Copy of Postcard Submitted to USPTO dated June 28, 2002
- [X] Copy of Transmittal Letter addressed to BOX DUPLICATE OIPE dated June 28, 2002
- [X] Copy of Postcard Submitted to USPTO dated December 5, 2001
- [X] Copy of Transmittal Letter addressed to Commissioner for Patents dated December 5, 2001
- [X] Copy of Request for Substitute Papers submitted to USPTO and dated June 28, 2002
- [X] Copy of Response to Request for Substitute Papers dated June 28, 2002
- [X] Copy of Notice to File Corrected Application Papers received from USPTO and dated November 19, 2001
- [X] Letter to Official Draftsman addressed to Commissioner for Patents dated December 5, 2001, including copy of fifteen (15) sheet of formal drawings

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

Serial No.: 09/965,101

- 2 -

Art Unit: 1632

If a fee is required, the Commissioner is hereby authorized to charge Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

*Davis, et al.*

By: 

Maria A. Trevisan, Reg. No.: 48,207

Wolf, Greenfield & Sacks, P.C.

600 Atlantic Avenue

Boston, Massachusetts 02210-2211

Telephone: (617)720-3500

Docket No. C01039/70057

Date: August 30, 2002

**X09/12/02**



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/965,101	09/26/2001	Arthur M. Krieg	C1039/7057 (HCL/MAT)

CONFIRMATION NO. 3959

FORMALITIES LETTER



\*OC000000007093845\*

Maria A. Trevisan  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210

Date Mailed: 11/19/2001

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg, et al.  
Serial No.: 09/965,101  
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
PROTOCOLS  
Filed: September 26, 2001  
Examiner: Not yet assigned  
Art Unit: 1632  
Conf No.: 3959

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10(a)

I hereby certify that this document is being placed in the United States mail as Express Mail No. EL953479526US, addressed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327 on June 28, 2002.

Maria A. Trevisan Reg. No.: 48,207

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Box Duplicate OIPE  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

Sir:

Transmitted herewith are the following documents:

- [x] Copy of Request for Substitute Papers
- [x] Response to Request for Substitute Papers
- [x] Copy of documents filed with Certificate of Mailing December 5, 2001
- [x] Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If there is a fee required in connection with filing these documents, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

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Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza, 600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Attorney Docket No. C1039/7057

Date: June 28, 2002

X 07/03/02



**UNITED STATES DEPARTMENT OF COMMERCE**  
**United States Patent and Trademark Office**  
Address **COMMISSIONER OF PATENTS AND TRADEMARKS**  
Washington, D C 20231  
[www.uspto.gov](http://www.uspto.gov)

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/965,101	09/26/2001	Krieg, Arthur	C1039/7057 (HCL/MAT)

**Title:** Vectors and methods for immunization or therapeutic protocols

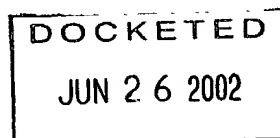
## Request for Substitute Papers

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated ~~703-516-1060 (OUE)~~. 703-746-9195

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

Name: MARIA A. TREVISAN Registration No.: 48,207  
Signature: Maria A. Trevisan Date: June 28, 2002



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ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg, et al.  
Serial No.: 09/965,101  
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
PROTOCOLS  
Filed: September 26, 2001  
Examiner: Not yet assigned  
Art Unit: 1632  
Conf No.: 3959

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10(a)

I hereby certify that this document is being placed in the United States mail as Express Mail No. EL953479526US, addressed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327 on June 28, 2002.

Maria A. Trevisan Reg. No.: 48,207

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Box Duplicate OIPE  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202-2327

**RESPONSE TO REQUEST FOR SUBSTITUTE PAPERS**

This is in response to the Request for Substitute Papers mailed from the United States Patent and Trademark Office on June 19, 2002.

Attached are copies of documents filed with certificate of mailing December 5, 2001. Applicants believe this is responsive to the Request for Substitute Papers.

If any other information is needed, please contact the undersigned by phone (617-720-3500, Ext. 266) to expedite the further prosecution of this patent application.

Respectfully Submitted,

Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza, 600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Attorney Docket No. C1039/7057  
Date: June 28, 2002

807/03/02



ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis, et al.  
Serial No.: 09/965,101  
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC  
PROTOCOLS  
Filed: September 26, 2001  
Examiner: Not yet assigned  
Art Unit: 1632

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on December 5, 2001.

Maria A. Trevisan Reg. No.: 48,207

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL

Transmitted herewith are the following documents:

- ☒ Notice to File Corrected Application Papers
- ☒ Substitute Drawings in Compliance with 37 C.F.R. 1.84
- ☒ Letter to Official Draftsman
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If any fee is determined to be due by the Examiner, the Examiner is authorized to charged the appropriate fee to the account of the undersigned, Deposit Account No:- 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
Federal Reserve Plaza, 600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500  
Attorneys for Applicants

Attorney Docket No. C1039/7057  
Date: December 5, 2001  
X1/19/02



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P.O. Box 2327  
Arlington, VA 22202-2327

**RESPONSE TO REQUEST FOR SUBSTITUTE PAPERS**

Sir:

This is in response to the Request for Substitute Papers mailed from the United States Patent and Trademark Office on August 26, 2002. This is the second Request for Substitute Papers mailed from the United States Patent and Trademark Office. The first request was mailed June 19, 2002, and Applicants timely responded to that request by filing the enclosed documents. Applicants also received a stamped, return-receipt postcard from the USPTO indicating that the USPTO received the documents on June 28, 2002.

Notwithstanding the previous response, attached are copies of documents filed with Certificate of Mailing December 5, 2001. Applicants believe this is responsive to the Request for Substitute Papers.



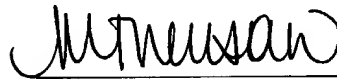
Serial No.: 09/965,101

- 2 -

Art Unit: 1632

If any other information is needed, please contact the undersigned by telephone (617-720-3500, extension 266) to expedite the further prosecution of this patent application.

Respectfully submitted,  
*Davis, et al., Applicants*



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Maria A. Trevisan, Reg. No. 48,207  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2211  
Telephone: (617) 720-3500

Docket No. C01039/70057/MAT  
Date: August 30, 2002  
**X09/12/02**